

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Rajagopalan Srinivasan et al.  
Serial No.: 10/008,552  
Filing Date: 11/13/2001  
Title: METHOD AND APPARATUS FOR  
MANAGING PROCESS TRANSITIONS  
Group Art Unit: 2857  
Attorney's Docket No.: NUS-14

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 CFR 1.56, 1.97 and 1.98, Applicants hereby make the following documents of record in the above-identified application:

Other Documents

- (1) Hwang, D.H. et al. "Real-time Monitoring For A Process With Multiple Operating Modes", Control Engineering Practice 7, 891-901, 1999.
- (2) Iri, M. et al., "An Algorithm For Diagnosis Of System Failures In The Chemical Process", Computers and Chemical Engineering, 3, 489-493, 1979.
- (3) Rengaswamy, R., "A Syntactic Pattern-recognition Approach for Process Monitoring and Fault Diagnosis", Engineering Applications Of Artificial Intelligence, 8(1), 35-51, 1995.
- (4) Vedam, H. et al., "A Wavelet Theory Based Adaptive Trend Analysis System For Process Fault Diagnosis", Proceedings Of The American Control Conference, 309-313, 1997.
- (5) Viswanathan, S. et al., "Automating Operating Procedure Synthesis for Batch Processes: Part I. Knowledge Representation and Planning Framework", Computers and Chemical Engineering", 22(11), 1673-1685, 1998.

Copies of these documents, which are listed on the accompanying Form PTO-1449 (one page), are enclosed herewith. Applicants respectfully request that these documents be fully considered by the U.S. Patent and Trademark Office during

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the examination of this application and printed on any patent which may issue on this application. Applicants also respectfully request that a copy of Form PTO-1449 (one page), as considered and initialed by the Examiner, be returned to the undersigned with the next communication.

This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits. No certification or fee is believed to be required.

It is believed that this disclosure complies with the requirements of 37 CFR 1.56, 1.97 and 1.98. If for any reason the Examiner considers otherwise, it is respectfully requested that the undersigned be contacted by the Examiner by telephone in order that any deficiencies may be expeditiously remedied.

The enclosed documents may have markings thereon. Applicants are not presently aware of the source of those markings, and no significance is meant to be attached thereto.

Please charge any additional fees due in connection with this submission, or credit any overpayment, to Deposit Account No. 16-0221. A duplicate copy of this submission is enclosed for the convenience of the Examiner.

Thank you.

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL, POSTAGE PREPAID, IN AN ENVELOPE ADDRESSED TO: COMMISSIONER FOR PATENTS, PO BOX 1450, ALEXANDRIA, VA 22313-1450, ON:

September 26, 2003

(DATE OF DEPOSIT)

James A. Sheridan

(NAME OF ATTORNEY)

James A. Sheridan  
*James A. Sheridan 9/26/03*

(SIGNATURE)

September 26, 2003

(DATE OF SIGNATURE)

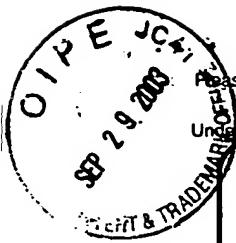
Respectfully submitted,

*James A. Sheridan 9/26/03*

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Substitute for form 1449B/PTO

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

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**Complete if Known**

Application Number	10/008,552
Filing Date	11/13/2001
First Named Inventor	Rajagopalan Srinivasan et al.
Group Art Unit	2857
Examiner Name	unknown
Attorney Docket Number	NUS-14

#### **OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS**

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.